

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION  
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or  
☒ Application No. 10/032,809, filed on 12/26/2001,  
☐ as amended on \_\_\_\_\_ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

**FULL NAME OF INVENTOR(S)**

Inventor 1 Donald A. Zehnder Date: 3/28/02

Signature: Donald A. Zehnder Citizen of: United States

Inventor 2 Marcel P. Bruchez Date: 3-27-02

Signature: Marcel Bruchez Jr Citizen of: United States

Inventor 3 Joseph A. Treadway Date: 3/28/02

Signature: Joseph A. Treadway Citizen of: United States

Inventor 4 Jonathan P. Earhart Date: 3/27/2002

Signature: Jonathan P. Earhart Citizen of: United States

☐ Additional inventors are being named on form(s) attached hereto.

Please type a plus sign (+) inside this box → 

PTO/SB/81 (02-01)



Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>POWER OF ATTORNEY OR AUTHORIZATION OF AGENT</b>	<b>Application Number</b>	10/032,809
	<b>Filing Dat</b>	12/26/2001
	<b>First Named Inventor</b>	Donald A. Zehnder
	<b>Title</b>	FLOW SYNTHESIS OF QUANTUM DOT NANOCRYSTALS
	<b>Group Art Unit</b>	1765
	<b>Examiner Name</b>	NOT ASSIGNED
	<b>Attorney Docket Number</b>	019916-003510US

I hereby appoint:

☒ Practitioners at Customer Number  

☐ Practitioner(s) named below:


Name	Registration Number
	20350

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

**OR**

☐ Practitioners at Customer Number 

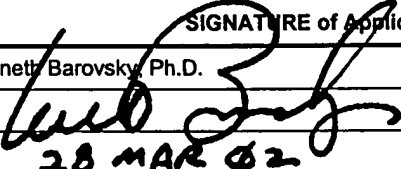
<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

**SIGNATURE of Applicant or Assignee of Record**

Name	Kenneth Barovsky Ph.D.
Signature	
Date	28 MAR 02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ \*Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1329476 v1

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Donald A. Zehnder et al.Application No./Patent No.: 10/032,809Filed/Issue Date: 12/26/2001Entitled: FLOW SYNTHESIS OF QUANTUM DOT NANOCRYSTALSQuantum Dot Corporation, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

28 MAR 02  
Date

  
Signature

Kenneth Barovsky

Typed or printed name

Vice President and Intellectual Property Counsel

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Donald A. Zehnder, a citizen of the U.S.A. residing at 1398 Orange Avenue, San Carlos, California 94070; Marcel P. Bruchez, a citizen of the U.S.A. residing at 2425 Coronet Blvd., Belmont, California 94002; Joseph A. Treadway, a citizen of the U.S.A. residing at 34736 Bowie Common, Fremont, California 94555, and Jonathan P. Earhart, a citizen of the U.S.A. residing at 2752 Pineridge Road, Castro Valley, California 94546; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: FLOW SYNTHESIS OF QUANTUM DOT  
NANOCRYSTALS

Date(s) of execution of Declaration: 3/28/02 and 3/27/02

Filing Date: 12/26/2001

Application No.: 10/032,809; and

WHEREAS, Quantum Dot Corporation, located at 26118 Research Road, Hayward, California, 94545, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

COPY

*Not for Registration*

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 3-28-02

Donald A. Zehnder  
Donald A. Zehnder

Dated: <sup>MB</sup>~~3-29~~ 3-27-02

Marcel Bruchez  
Marcel P. Bruchez

Dated: 3/28/02 (JH)  
3/27/02

Joseph A. Treadway  
Joseph A. Treadway

Dated: 3/27/2002

Jonathan P. Earhart  
Jonathan P. Earhart



019916-003510VS H414

JUNE 12, 2002

PTAS  
TOWNSEND AND TOWNSEND AND CREW LLP  
M. HENRY HEINES  
TWO EMBARCADERO CENTER, 8TH FLOOR  
SAN FRANCISCO, CA 94111-3834

Chief Information Officer  
Washington, DC 20231  
www.uspto.gov



\*102057194A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/11/2002

REEL/FRAME: 012786/0561  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ZEHNDER, DONALD A.

DOC DATE: 03/28/2002

ASSIGNOR:

BRUCHEZ, MARCEL P.

DOC DATE: 03/27/2002

ASSIGNOR:

TREADWAY, JOSEPH A.

DOC DATE: 03/28/2002

ASSIGNOR:

EARHART, JONATHAN P.

DOC DATE: 03/27/2002

ASSIGNEE:

QUANTUM DOT CORPORATION  
26118 RESEARCH ROAD  
HAYWARD, CALIFORNIA 94545

SERIAL NUMBER: 10032809  
PATENT NUMBER:

FILING DATE: 12/26/2001  
ISSUE DATE:

012786/0561 PAGE 2

SEDLEY PYNE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

4/11/02

04-17-2002

Attorney Docket No. 019916-003510US

Form PTO-1595

(Rev. 03-01)

OMB No. 0651-0027 (exp. 5/31/2002)



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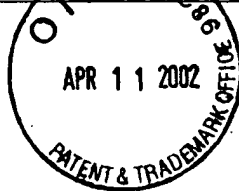
U.S. Department of Commerce  
U.S. Patent and Trademark Office

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102057194

To the Honorable Commissioner of Patents and Trademarks, U.S. Patent and Trademark Office, Washington, D.C. 20231. Attached original documents or copy thereof

## 1. Name of conveying party(ies):

Donald A. Zehnder  
Marcel P. Bruchez  
Joseph A. Treadway  
Jonathan P. Earhart

## 2. Name and address of receiving party(ies)

Name: Quantum Dot Corporation

Internal Address: \_\_\_\_\_

Street Address: 26118 Research RoadCity: HaywardState: CAZIP: 94545Additional name(s) of conveying parties attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other: \_\_\_\_\_Additional names and addresses attached? ☐ Yes ☒ NoExecution Date: 3/28/02 and 3/27/02

## 4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s): 10/032,809

B. Patent No(s): \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: M. Henry Heines  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-02006. Total number of applications and patents involved 17. Total fee (37 CFR 3.41): \$40.00☐ Enclosed☒ Authorized to be charged to deposit account8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

04/15/2002 DBYRNE 00000225 201430 10032809  
01 FC:581 40.00 CH

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*M. Henry HeinesName of Person Signing  
Atty. Reg. No. 28,219


2 APR 2002  
Date
Total number of pages including cover sheet, attachments and document 3

Mail documents to be recorded with required cover to:  
Commissioner of Patents and Trademarks, Box Assignments  
Washington, D.C. 20231

SF #1332177 v1



## ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Donald A. Zehnder, a citizen of the U.S.A. residing at 1398 Orange Avenue, San Carlos, California 94070; Marcel P. Bruchez, a citizen of the U.S.A. residing at 2425 Coronet Blvd., Belmont, California 94002; Joseph A. Treadway, a citizen of the U.S.A. residing at 34736 Bowie Common, Fremont, California 94555, and Jonathan P. Earhart, a citizen of the U.S.A. residing at 2752 Pineridge Road, Castro Valley, California 94546; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: FLOW SYNTHESIS OF QUANTUM DOT  
NANOCRYSTALS

Date(s) of execution of Declaration: 3/28/02 and 3/27/02

Filing Date: 12/26/2001

Application No.: 10/032,809; and

WHEREAS, Quantum Dot Corporation, located at 26118 Research Road, Hayward, California, 94545, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 3-28-02

Dated: <sup>MB</sup>~~3-29~~ 3-27-02

Dated: 3/28/02 (AH)  
~~3/27/02~~

Dated: 3/27/2002


SF 1303576 v1

Donald A. Zehnder  
Donald A. Zehnder

Marcel Bruchez  
Marcel P. Bruchez

Joseph A. Treadway  
Joseph A. Treadway

Jonathan P. Earhart  
Jonathan P. Earhart

Form PTO-1595 (Rev. 03-01) OMB No. 0651-0027 (exp. 5/31/2002)		<b>Recordation Form Cover Sheet</b> <b>PATENTS ONLY</b>		U.S. Department of Commerce U.S. Patent and Trademark Office	
Tab settings ⇌ ⇌ ⇌					
To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof					
1. Name of conveying party(ies):  Donald A. Zehnder Marcel P. Bruchez Joseph A. Treadway Jonathan P. Earhart			2. Name and address of receiving party(ies)  Name: <u>Quantum Dot Corporation</u>  Internal Address: _____  Street Address: <u>26118 Research Road</u>  City: <u>Hayward</u> State: <u>CA</u> ZIP: <u>94545</u>		
Additional name(s) of conveying parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No.			Additional names and addresses attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____			Execution Date: <u>3/28/02 and 3/27/02</u>		
4. Application number(s) or patent number(s).  If this document is being filed together with a new application, the execution date of the application is: _____					
A. Patent Application No(s): <u>10/032,809</u>			B. Patent No(s): _____		
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning document should be mailed:  Name: <u>M. Henry Heines</u> <u>TOWNSEND AND TOWNSEND AND CREW LLP</u> <u>Two Embarcadero Center, 8<sup>th</sup> Floor</u> <u>San Francisco, California 94111-3834</u> <u>(415) 576-0200</u>			6. Total number of applications and patents involved <u>1</u>  7. Total fee (37 CFR 3.41): _____ \$ <u>40.00</u>  <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account		
			8. Deposit account number: <u>20-1430</u>  (Attach duplicate copy of this page if paying by deposit account)		
<b>DO NOT USE THIS SPACE</b>					
9. Statement and signature.  <i>To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.</i>					
<u>M. Henry Heines</u> Name of Person Signing Atty. Reg. No. 28,219		 Signature		<u>2 APR 2002</u> Date	
Total number of pages including cover sheet, attachments and document <u>3</u>					

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 Washington, D.C. 20231

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